

FORM TYPES USED FOR ELECTRONIC FILING ON EDGAR

Note: We extracted the following descriptions of SEC Forms from the [EDGAR Filer Manual \(v.9.0\)](#). Although the manual is aimed at a technical audience, the tables below can help investors to decipher form names and locate company filings. To view a blank PDF version of a particular form, please visit the [Forms](#) section of our website.

A. Submission Types Accepted for Electronic Filing

This Appendix provides tables listing all submission types accepted by EDGAR. Use this Appendix to find a description of EDGAR submission types and to identify the templates used to recognize different submission types.

A.1 How Tables are Organized

The tables are organized by the Act under which they are used. Each table has four headings: Filing Type; Description; Submission Type; and Appendix B Template Number.

A.1.1 Filing Type

The Filing Type column lists the names of the forms, rules, or schedules as they appear in the Code of Federal Regulations (CFR).

A.1.2 Description

The Description column explains the purpose of the form.

A.1.3 Submission Type

The Submission Type column lists the names of the submission types that correspond to the filing type.

A.1.4 Template Number

The Template column shows the template number as recognized by EDGAR.

APPENDIX A

Submission Types Accepted for Electronic Filing

Table of Contents

Table		Page
TABLE 1	Securities Act Submission types Accepted by EDGAR	A-3
TABLE 2	Securities Exchange Act - Proxy Materials and Information Statements Filed Pursuant to Section 14 Submission types Accepted by EDGAR	A-13
TABLE 3	Securities Exchange Act - Registration and Report Submission types Accepted by EDGAR	A-15
TABLE 4	Williams Act Filing Submission types Accepted by EDGAR	A-21
TABLE 5	Public Utility Holding Company Act Submission types Accepted by EDGAR	A-22
TABLE 6	Investment Company Submission types Accepted by EDGAR	A-25
TABLE 7	Development Bank Submission types Accepted by EDGAR (These submission types are to be used ONLY by the Development Banks.)	A-39
TABLE 8	Correspondence Submission Types	A-39

TABLE 1. Securities Act Submission Types Accepted by EDGAR

Filing Type	Description	Submission Type	Template Number
F-1	Registration statement for certain foreign private issuers	F-1	1
	Pre-effective amendment	F-1/A	1
	Post-effective amendment to a registration statement that is not automatically effective upon filing	POS AM	1
F-1MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form F—1	F-1MEF	1
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	3
F-2	Registration statement for certain foreign private issuers	F-2	1
	Pre-effective amendment	F-2/A	1
	Post-effective amendment to a registration statement that is not automatically effective upon filing	POS AM	1
	Registration statement of securities of certain foreign private issuers issued under dividend or interest re-investment plans	F-2D	1
	Post-effective amendment to a F-2D registration	F-2DPOS	1
F-2MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form F-2	F-2MEF	1
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	3
F-3	Registration statement for specified transactions by certain foreign private issuers	F-3	1
	Pre-Effective amendment	F-3/A	1

Filing Type	Description	Submission Type	Template Number
	Post-effective amendment to a registration statement that is not automatically effective upon filing	POS AM	1
	Registration statement for dividend or interest reinvestment plan securities of foreign private issuers	F-3D	1
	Post-Effective amendment to a F-3D registration	F-3DPOS	1
F-3MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form F-3	F-3MEF	1
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	3
F-4	Registration statement for securities issued by foreign private issuers in certain business combination transactions	F-4	1
	Pre-effective amendment	F-4/A	1
	Post-effective amendment to a registration statement that is not automatically effective upon filing	POS AM	1
	Auto effective registration statement for securities by certain foreign private issuers in connection with certain business combination transactions	F-4EF	1
	Amendment	F-4EF/A	1
	Post-effective amendment to a F-4 registration	F-4 POS	1
F-4MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form F-4	F-4MEF	1
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	3
F-6	Registration statement for American Depositary Receipts representing securities of certain foreign private issuers	F-6	1

Filing Type	Description	Submission Type	Template Number
	Pre-effective amendment	F-6/A	1
	Post-effective amendment to a registration statement that is not automatically effective upon filing	POS AM	1
	Auto effective registration statement for American Depositary Receipts representing securities of certain foreign private issuers	F-6EF	1
	Post-effective amendment to a F-6EF registration	F-6 POS	1
F-7	Registration statement for securities of certain Canadian issuers offered for cash upon the exercise of rights granted to existing security holders under the Securities Act of 1933	F-7	1
	Pre-effective amendment	F-7/A	1
	Post-effective amendment to a F-7 registration	F-7 POS	1
F-8	Registration statement for securities of certain Canadian issuers to be issued in exchange offers or a business combination under the Securities Act of 1933	F-8	1
	Pre-effective amendment	F-8/A	1
	Post-effective amendment to a F-8 registration	F-8 POS	1
F-9	Registration of securities of certain investment grade debt or investment grade preferred securities of certain Canadian issuers under the Securities Act of 1933	F-9	1
	Pre-effective amendment	F-9/A	1
	Auto effective registration of securities of certain investment grade debt or investment grade preferred securities of certain Canadian issuers under the Securities Act of 1933	F-9EF	1
	Post-effective amendment to a F-9EF registration	F-9 POS	1
F-10	Registration statement for securities of certain Canadian issuers under the Securities Act of 1933	F-10	1

Filing Type	Description	Submission Type	Template Number
	Pre-effective amendment	F-10/A	1
	Auto effective registration statement for securities of certain Canadian issuers under the Securities Act of 1933	F-10EF	1
	Post-effective amendment to a F-10EF registration	F-10POS	1
F-80	Registration of securities of certain Canadian issuers to be issued in exchange offers or a business combination under the Securities Act of 1933	F-80	1
	Pre-effective amendment	F-80/A	1
	Post-effective amendment to a F-80 registration	F-80POS	1
S-1	General form of registration statement for all companies including face-amount certificate companies	S-1	1
	Pre-effective amendment	S-1/A	1
	Post-effective amendment to a registration statement that is not automatically effective upon filing	POS AM	1
S-1MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-1	S-1MEF	1
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	3
S-2	Registration of securities of certain issuers	S-2	1
	Pre-effective amendment	S-2/A	1
	Post-effective amendment to a registration statement that is not automatically effective upon filing	POS AM	1
S-2MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-2	S-2MEF	1

Filing Type	Description	Submission Type	Template Number
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	3
S-3	Registration statement for specified transactions by certain issuers	S-3	1
	Pre-effective amendment	S-3/A	1
	Post-effective amendment to a registration statement that is not automatically effective upon filing	POS AM	1
	Automatically effective registration statement for securities issued pursuant to dividend or interest reinvestment plans	S-3D	1
	Post-effective amendment to a S-3D registration statement	S-3DPOS	1
S-3MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-3	S-3MEF	1
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	3
S-4	Registration of securities issued in business combination transactions	S-4	1
	Pre-effective amendment	S-4/A	1
	Post-effective amendment to a registration statement that is not automatically effective upon filing	POS AM	1
	Auto effective registration statement for securities issued in connection with the formation of a bank or savings and loan holding company in compliance with General Instruction G	S-4EF	1
	Amendment	S-4EF/A	1
	Post-effective amendment to a S-4EF registration statement	S-4 POS	1

Filing Type	Description	Submission Type	Template Number
S-4MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-4	S-4MEF	1
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	3
S-8	Initial registration statement for securities to be offered to employees pursuant to employee benefit plans	S-8	1
	Post-effective amendment to a S-8 registration statement	S-8 POS	1
S-11	Registration statement for securities to be issued by real estate companies	S-11	1
	Pre-effective amendment	S-11/A	1
	Post-effective amendment to a registration statement that is not automatically effective upon filing	POS AM	1
S-11MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-11	S-11MEF	1
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	3
S-20	Registration statement for standardized options	S-20	1
	Pre-effective amendment	S-20/A	1
	Post-effective amendment to a registration statement that is not automatically effective upon filing	POS AM	1
S-B	Registration statement for securities of foreign governments and subdivisions thereof under the Securities Act of 1933 (Schedule B)	S-B	1
	Pre-effective amendment	S-B/A	1

Filing Type	Description	Submission Type	Template Number
	Post-effective amendment to a registration statement that is not automatically effective upon filing	POS AM	1
S-BMEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-B	S-BMEF	1
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	3
SB-1	Optional form for the initial registration of securities to be sold to the public by small business issuers	SB-1	1
	Pre-effective amendment	SB-1/A	1
	Post-effective amendment to a registration statement that is not automatically effective upon filing	POS AM	1
SB-1MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form SB-1	SB-1MEF	1
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	3
SB-2	Optional form for the registration of securities to be sold to the public by small business issuers	SB-2	1
	Pre-effective amendment	SB-2/A	1
	Post-effective amendment to a registration statement that is not automatically effective upon filing	POS AM	1
SB-2MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form SB-2	SB-2MEF	1
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	3

Filing Type	Description	Submission Type	Template Number
POS462C	Post-effective amendment to a registration statement filed under Rule 462(c)	POS462C	3
POS EX	Post-effective amendment filed solely to add exhibits to a registration statement	POS EX	3
POS AM	Post-effective amendment to a registration statement that is not automatically effective upon filing	POS AM	1
PROSPECTUSES FILED PURSUANT TO RULE 424			
	Prospectus filed pursuant to Rule 424(a)	424A	3
	Prospectus filed pursuant to Rule 424(b)(1)	424B1	3
	Prospectus filed pursuant to Rule 424(b)(2)	424B2	3
	Prospectus filed pursuant to Rule 424(b)(3)	424B3	3
	Prospectus filed pursuant to Rule 424(b)(4)	424B4	3
	Prospectus filed pursuant to Rule 424(b)(5)	424B5	3
	Prospectus filed pursuant to Rule 424(b)(7)	424B7	3
FILINGS PURSUANT TO THE TRUST INDENTURE ACT			
305B2	Application for designation of a new trustee under the Trust Indenture Act	305B2	3
	Amendment	305B2/A	3
T-3	Initial application for qualification of trust indentures	T-3	1
	Pre-effective amendment	T-3/A	1
T-6	Application for determination of eligibility of a foreign person to act as institutional trustee filed pursuant to Section 310(a)(1) of the Trust Indenture Act of 1939	T-6	1
	Pre-effective amendment	T-6/A	1
Note: "Submission types" T-1 and T-2 are not used as stand-alone submission types on the EDGAR system. They are filed as EX-25 to registration statements.			

Filing Type	Description	Submission Type	Template Number
FILINGS PURSUANT TO RULE 144			
144	Filing for proposed sale of securities under Rule 144	144	2
	Amendment to Form 144 Note: Form 144 may be filed electronically on a voluntary basis if the issuer of the securities is a public company.	144/A	2
MISCELLANEOUS FILINGS			
DEL AM	Separately filed delaying amendment under Securities Act Rule 473 to delay effectiveness of a 1933 Act registration statement	DEL AM	3
UNDER	Initial undertaking to file reports	UNDER	3
	Amendment	UNDER/A	3
SUPPL	Voluntary supplemental material filed pursuant to Section 11(a) of the Securities Act of 1933 by foreign issuers	SUPPL	2
RW	Registration Withdrawal Request	RW	3
RW WD	Withdrawal of a Registration Withdrawal Request	RW WD	1
AW	Withdrawal of amendment to a registration statement filed under the Securities Act	AW	3
AW WD	Withdrawal of a request for withdrawal of an amendment to a registration statement	AW WD	1
425	Filing under Securities Act Rule 425 of certain prospectuses and communications in connection with business combination transactions	425	2
	Note: Form 425 can be filed as part of Form 8-K. For filers subject to 8-K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms		

Filing Type	Description	Submission Type	Template Number
F-X	For appointment of agent for service of process by issuers registering securities (if filed on Form F-8, F-9, F-10 or F-80, or registering securities or filing periodic reports on Form 40-F, or by any person filing certain tender offer documents, or by any person acting as trustee with respect to securities registered on Form F-7, F-8, F-9 or F-10	F-X	2
	Amendment	F-X/A	2
F-N	Notification of the appointment of an agent for service by certain foreign institutions	F-N	2
	Amendment	F-N/A	2

Special Processing of Certain Submission Types

Issuers are advised that filings with the submission types listed below will receive a "Filing Date" identical to the EDGAR "Received Date" even if received after 5:30 p.m. Eastern time, which is different than normal filings. In addition these filings will be disseminated until 10:00 p.m. Eastern time. Normally filings received after 5:30 p.m. Eastern time will receive a filing date of the next business day and will not be disseminated until the next business day.

The following submission types will receive a filing date identical to the EDGAR "Received Date" and will be disseminated until 10:00 p.m. Eastern time:

F-1MEF	F-2MEF	F-3MEF	F-4MEF
N-14MEF	N-2MEF	POS462B	S-11MEF
S-1MEF	S-2MEF	S-3MEF	S-4MEF
SB-1MEF	SB-2MEF	S-BMEF	

You should send any fee payment made for the above registration statements to the Commission's lockbox. Additionally, you should submit any fee payment certification that you are making for the above-listed submission types, pursuant to Rule 111(b), using the "CORRESP" submission type.

TABLE 2. Securities Exchange Act - Proxy Materials and Information Statements Filed Pursuant to Section 14 Submission types Accepted by EDGAR

Filing Type	Description	Submission Type	Template Number
PRELIMINARY PROXY SOLICITING MATERIALS			
	Preliminary proxy statements relating to merger or acquisition	PREM14A	2
	Preliminary proxy statement in connection with contested solicitations	PREC14A	2
	Preliminary proxy statement filed by non-management	PREN14A	2
	Preliminary proxy statement not related to a contested matter or merger / acquisition	PRE 14A	2
PRELIMINARY INFORMATION STATEMENTS			
	Preliminary information statements relating to merger or acquisition	PREM14C	2
	Preliminary information statements – contested solicitations	PREC14C	2
	Preliminary information statement not related to a contested matter or merger/acquisition	PRE 14C	2
REVISED PRELIMINARY MATERIALS			
	Preliminary revised proxy soliciting materials	PRER14A	2
	Revised preliminary proxy statement filed by non-management	PRRN14A	2
	Preliminary revised information statements	PRER14C	2
DEFINITIVE MATERIALS (PROXY MATERIALS)			
	Definitive proxy statement relating to merger or acquisition	DEFM14A	2
	Definitive proxy statement in connection with contested solicitations	DEFC14A	2
	Definitive proxy statement filed by non-management	DEFN14A	2
	Revised definitive proxy statement filed by non-management	DFRN14A	2
	Definitive revised proxy soliciting materials	DEFR14A	2

Filing Type	Description	Submission Type	Template Number
	<p>Definitive additional proxy soliciting materials including Rule 14(a)(12) material</p> <p>Note: Submission type DEFA14A can be filed as part of Form 8-K. For filers subject to 8-K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms</p>	DEFA14A	2
	<p>Definitive additional proxy soliciting materials filed by non-management including Rule 14(a)(12) material</p> <p>Note: Submission type DFAN14A can be filed as part of Form 8-K. For filers subject to 8-K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms</p>	DFAN14A	2
	Definitive proxy statements	DEF 14A	2
	Notice of exempt solicitation	PX14A6G	2
	Notice of exempt solicitation for the purpose of determining whether to solicit proxies, consents, or authorizations in opposition to a proposed roll-up transaction filed pursuant to Rule 14a6(g) of the Securities Exchange Act of 1934	PX14A6N	2
DEFINITIVE MATERIALS (INFORMATION STATEMENTS)			
	Definitive information statement relating to merger or acquisition	DEFM14C	2
	Definitive information statement – contested solicitations	DEFC14C	2
	Definitive information statements	DEF 14C	2
	Definitive additional information statement materials including Rule 14(a)(12) material	DEFA14C	2
	Definitive revised information statement materials	DEFR14C	2

**Table 3. Securities Exchange Act - Registration and Report Submission types Accepted by
EDGAR**

Filing Type	Description	Submission Type	Template Number
REGISTRATION STATEMENTS			
8-A	Form for the registration / listing of a class of securities on a national securities exchange pursuant to section 12(b)	8-A12B	3
	Amendment	8-A12B/A	3
	Form for registration of a class of securities pursuant to section 12(g)	8-A12G	3
	Amendment	8-A12G/A	3
10	Initial general form for registration of a class of securities pursuant to section 12(b)	10-12B	3
	Amendment	10-12B/A	3
	Initial general form for registration of a class of securities pursuant to section 12(g)	10-12G	3
	Amendment	10-12G/A	3
10-SB	Form for initial registration of a class of securities for small business issuers pursuant to section 12(b)	10SB12B	3
	Amendment	10SB12B/A	3
	Form for initial registration of a class of securities for small business issuers pursuant to section 12(g)	10SB12G	3
	Amendment	10SB12G/A	3
20-F	Form for initial registration of a class of securities of foreign private issuers pursuant to section 12(b)	20FR12B	3
	Amendment	20FR12B/A	3
	Form for initial registration of a class of securities of foreign private issuers pursuant to section 12(g)	20FR12G	3
	Amendment	20FR12G/A	3

Filing Type	Description	Submission Type	Template Number
40-F	Registration of a class of securities of certain Canadian issuers pursuant to Section 12(b) of the 1934 Act	40FR12B	3
	Amendment	40FR12B/A	3
	Registration of a class of securities of certain Canadian issuers pursuant to Section 12(g) of the 1934 Act	40FR12G	3
	Amendment	40FR12G/A	3
18	Form for initial registration of securities of foreign governments or political subdivisions pursuant to section 12(b)	18-12B	3
	Amendment	18-12B/A	3
	Form for initial registration of securities of foreign governments or political subdivisions thereof pursuant to 12(g)	18-12G	3
	Amendment	18-12G/A	3
ANNUAL, QUARTERLY, AND PERIODIC REPORTS			
ARS	Annual report to security holders	ARS	3
	Amendment Note: Use this submission type when furnishing the annual report to security holders for the information of the Commission pursuant to Rule 14a-3(c) or Rule 14c-3(b). Portions of the annual report to security holders filed with the Commission as part of a registration statement or periodic report should be filed as Exhibit 13, as provided by Item 601 of Regulation S-K and S-B. See Appendix C for proper tagging of Exhibit 13.	ARS/A	3
6-K	Current report of foreign issuer pursuant to Rules 13a-16 and 15d-16	6-K	3
	Amendments	6-K/A	3

Filing Type	Description	Submission Type	Template Number
10-Q	Quarterly report pursuant to sections 13 or 15(d)	10-Q	3
	Amendment	10-Q/A	3
	Transition report pursuant to Rule 13a-10 or 15d-10	10-QT	3
	Amendment	10-QT/A	3
10-QSB	Optional form for quarterly and transition reports of small business issuers under section 13 or 15(d)	10QSB	3
	Amendment	10QSB/A	3
10-K	Annual report pursuant to section 13 and 15(d)	10-K	3
	Amendment	10-K/A	3
	Transition report pursuant to Rule 13a-10 or 15d-10	10-KT	3
	Amendment	10-KT/A	3
10KSB	Optional form for annual and transition reports of small business issuers under section 13 or 15(d)	10KSB	3
	Amendment	10KSB/A	3
10-D	Periodic distribution reports by Asset-Backed issuers pursuant to Rule 13a-17 or 15d-17	10-D	3
	Amendment	10-D/A	3
8-K	Current report filing	8-K	3
	Amendment	8-K/A	3
	Notification that a class of securities of successor issuer is deemed to be registered pursuant to section 12(g)	8-K12G3	3
	Amendment	8-K12G3/A	3

Filing Type	Description	Submission Type	Template Number
	Notification of assumption of duty to report by successor issuer under section 15(d)	8-K15D5	3
	Amendment	8-K15D5/A	3
	Notification that a class of securities of successor issuer is deemed to be registered pursuant to section 12(b)	8-K12B	3
	Amendment	8-K12B/A	3
11-K	Annual report of employee stock purchase, savings and similar plans	11-K	3
	Amendment	11-K/A	3
	Transition report pursuant to rule 13a-10 or 15d-10	11-KT	3
	Amendment	11-KT/A	3
18-K	Annual report for foreign governments and political subdivisions	18-K	3
	Amendment	18-K/A	3
20-F	Annual and transition report of foreign private issuers pursuant to sections 13 or 15(d)	20-F	3
	Amendment	20-F/A	3
40-F	Annual reports filed by certain Canadian issuers pursuant to Section 15(d) and Rule 15d-4	40-F	3
	Amendment	40-F/A	3
12b-25	Notification of inability to timely file		
	Notice under Rule 12b25 of inability to timely file all or part of a Form 10-Q or 10-QSB	NT 10-Q	3
	Amendment	NT 10-Q/A	3
	Notice under Rule 12b25 of inability to timely file all or part of a Form 10-K, 10-KSB, or 10-KT	NT 10-K	3
	Amendment	NT 10-K/A	3

Filing Type	Description	Submission Type	Template Number
	Notice under Rule 12b25 of inability to timely file all or part of a Form 10-D	NT 10-D	3
	Amendment	NT 10-D/A	3
	Notice under Rule 12b25 of inability to timely file all or part of a Form 11-K	NT 11-K	3
	Amendment	NT 11-K/A	3
	Notice under Rule 12b25 of inability to timely file a special report pursuant to section 15d-2	NT 15D2	3
	Amendment	NT 15D2/A	3
	Notice under Rule 12b25 of inability to timely file all or part of an annual report of Form 20-F	NT 20-F	3
	Amendment	NT 20-F/A	3
15	Notice of termination of registration of a class of securities under Section 12(b)	15-12B	3
	Amendment	15-12B/A	3
	Notice of termination of registration of a class of securities under Section 12(g)	15-12G	3
	Amendment	15-12G/A	3
	Notice of suspension of duty to file reports pursuant to Section 13 and 15(d) of the Act	15-15D	3
	Amendment	15-15D/A	3
See Rule 15d-2	Special Financial Report filed under Rule 15d-2	SP 15D2	3
	Amendment	SP 15D2/A	3

Filing Type	Description	Submission Type	Template Number
MISCELLANEOUS SUBMISSION TYPES/FILINGS			
Form 13F	Initial Quarterly Form 13F Holdings report filed by institutional managers	13F-HR	3
	Amendment	13F-HR/A	3
	Initial Quarterly Form 13F Notice Report filed by institutional managers	13F-NT	3
	Amendment	13F-NT/A	3
Form RW	Registration Withdrawal Request	RW	3
	Withdrawal of a registration withdrawal statement	RW WD	1
Form AW	Withdrawal of amendment to a registration statement filed under the Securities Act	AW	3
	Withdrawal of an amendment registration withdrawal statement	AW WD	1
Form 425	<p>Filing under Securities Act Rule 425 of certain prospectuses and communications in connection with business combination transactions</p> <p>Note: Form 425 can be filed as part of Form 8-K. For filers subject to 8-K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms.</p>	425	2
Form 25	Notification filed by issuer to voluntarily withdraw a class of securities from listing and registration on a national securities exchange	25	3
	Amendment	25/A	3
	<p>Note: Changes for Submission types 25 and 25/A are to be used only in the event the SEC adopts the rule on mandatory electronic filing of the forms by issuers. The implementation date will be provided within the adopting release. (See Release No. 34-49858 (June 15, 2004) [69 FR 34860])</p>		

TABLE 4. Williams Act Filing Submission Types Accepted by EDGAR

Filing Type	Description	Submission Type	Template Number
Schedule 13D	Schedule filed to report acquisition of beneficial ownership of 5% or more of a class of equity securities	SC 13D	2
	Amendment	SC 13D/A	2
n/a	Schedule 13-E1 statement of issuer required by Rule 13e-1	SC 13E1	2
	Amendment	SC 13E1/A	2
Schedule 13E-3	Schedule filed to report going private transactions	SC 13E3	2
	Amendment	SC 13E3/A	2
Schedule 13E4F	Issuer tender offer statement filed pursuant to Rule 13(e)(4) by foreign issuers	SC13E4F	2
	Amendment	SC13E4F/A	2
Schedule 13G	Schedule filed to report acquisition of beneficial ownership of 5% or more of a class of equity securities by passive investors and certain institutions	SC 13G	2
	Amendment	SC 13G/A	2
Schedule TO-I	Issuer tender offer statement	SC TO-I	2
	Amendment	SC TO-I/A	2
Schedule TO-T	Third party tender offer statement	SC TO-T	2
	Amendment	SC TO-T/A	2
Schedule TO-C	Written communication relating to an issuer or third party tender offer Note: Form Schedule TO-C can be filed as part of Form 8-K. For filers subject to 8-K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms	SC TO-C	2

Filing Type	Description	Submission Type	Template Number
Schedule 14D1F	Third party tender offer statement filed pursuant to Rule 14d-1(b) by foreign issuers	SC14D1F	2
	Amendment	SC14D1F/A	2
Schedule 14D9-C	Written communication by the subject company relating to a third party tender offer	SC14D9C	2
Schedule 14D9	Tender offer solicitation / recommendation statements filed under Rule 14-d9	SC 14D9	2
	Amendment	SC 14D9/A	2
Schedule 14D9F	Solicitation/recommendation statement pursuant to Section 14(d)(4) of the Securities Exchange Act of 1934 and Rules 14d-1(b) and 14e-2(c) by foreign issuers	SC14D9F	2
	Amendment	SC14D9F/A	2
n/a	Statement regarding change in majority of directors pursuant to Rule 14f-1	SC 14F1	2
	Amendment	SC 14F1/A	2
CB	Notification form filed in connection with certain tender offers, business combinations and rights offerings, in which the subject company is a foreign private issuer of which less than 10% of its securities are held by U.S. persons	CB	2
	Amendment	CB/A	2

TABLE 5. Public Utility Holding Company Act Submission Types Accepted by EDGAR

Filing Type	Description	Submission Type	Template Number
REGISTRATION AND ANNUAL SUPPLEMENTS			
Form U5A	Notification of registration filed under section 5(a) of the act	U5A	3
	Amendment	U5A/A	3
Form U5B	Registration statement filed under section 5 of the act	U5B	3
	Amendment	U5B/A	3

Filing Type	Description	Submission Type	Template Number
Form U5S	Annual report for holding companies registered pursuant to section 5 of the act	U5S	3
	Amendment	U5S/A	3
APPLICATION AND DECLARATIONS			
Form U-1	Application or declaration under the act	U-1	3
	Pre-effective amendment	U-1/A	3
	Post-effective amendment to an application or declaration under the Public Utility Holding Act	POS AMC	3
Form U-13-1	Application for approval of mutual service company filed pursuant to Rule 88	U-13-1	3
	Amendment	U-13-1/A	3
STATEMENTS AND REPORTS			
Form U-6B-2	Certificate of notification of security issue, renewal or guaranty filed pursuant to Rule 20(d)	U-6B-2	3
	Amendment	U-6B-2/A	3
Form U-9C-3	Quarterly report concerning energy and gas-related companies pursuant to Rule 58 of the Act	U-9C-3	3
	Amendment	U-9C-3/A	3
Form U-57	Notification of Foreign Utility Company Status under Section 33(a)(2) of the Act	U-57	2
	Amendment	U-57/A	2
Form U-12-IA	Statement pursuant to section 12(i) of the Act by person employed or retained by a registered holding company or a subsidiary thereof	U-12-IA	2
	Amendment	U-12-IA/A	2
Form U-12-IB	Three-year statement pursuant to section 12(i) of the Act by person regularly employed or retained by a registered holding company or a subsidiary thereof	U-12-IB	2
	Amendment	U-12-IB/A	2

Filing Type	Description	Submission Type	Template Number
Form U-13E-1	Report by affiliate service companies or independent service companies filed pursuant to Rule 95	U-13E-1	2
	Amendment	U-13E-1/A	2
Rule U-R-1	Declaration as to solicitations filed pursuant to Rule 62	U-R-1	3
	Amendment	U-R-1/A	3
PERIODIC ACCOUNTING REPORTS			
Rule U-13-60	Annual report for mutual and subsidiary service companies filed pursuant to Rule 94	U-13-60	3
	Amendment	U-13-60/A	3
STATEMENTS AND REPORTS FROM NON-REGISTERED (EXEMPT) COMPANIES			
Form U-3A-2	Statement by holding company claiming exemption from provisions of the act pursuant to Rule 2	U-3A-2	3
	Amendment	U-3A-2/A	3
Form U-3A3-1	Twelve-month statement by bank claiming exemption from provisions of the act pursuant to Rule 3	U-3A3-1	3
	Amendment	U-3A3-1/A	3
Form U-7D	Certificate concerning lease of a utility facility filed pursuant to Rule 7(d)	U-7D	2
	Amendment	U-7D/A	2
Form U-33-S	Annual report Concerning Foreign Utility Companies pursuant to Section 33(e) of the Act	U-33-S	3
	Amendment	U-33-S/A	3
MISCELLANEOUS			
Rule 35-APP	Statement concerning proposed transaction for which no form of application is prescribed filed pursuant to Rule 20(e)	35-APP	3
	Amendment	35-APP/A	3

Filing Type	Description	Submission Type	Template Number
Rule 35-CERT	Certificate concerning terms and conditions filed pursuant to Rule 24	35-CERT	3
	Amendment	35-CERT/A	3
Rule 45B-3	Transitional statement concerning extensions of credit filed pursuant to Rule 45(b)(3)	45B-3	2
	Amendment	45B-3/A	2

TABLE 6. Investment Company Submission types Accepted by EDGAR

Filing Type	Description	Submission Type	Template Number
Forms S-1 & S-3	Registration statement for face-amount certificate companies		
	General form of registration statement for all companies including face-amount certificate companies	S-1	1
	Pre-effective amendment	S-1/A	1
	Registration statement for specified transactions by certain issuers including face-amount certificate companies	S-3	1
	Pre-effective amendment	S-3/A	1
	Post-effective amendment to a registration statement that is not automatically effective upon filing	POS AM	1
	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	3
	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	3
Forms N-1 & N-1A	Registration statement for open-end management investment companies		

Filing Type	Description	Submission Type	Template Number
	Initial registration statement filed on Form N-1A for open-end management investment companies	N-1A	1
	Pre-effective amendment to a registration statement filed on Form N-1A for open-end management investment companies (this filing cannot be submitted as a 1940 Act only filing)	N-1A/A	1
	Initial registration statement filed on Form N-1 for open-end management investment companies	N-1	1
	Pre-effective amendment to a registration statement filed on Form N-1 for open-end management investment companies (this filing cannot be submitted as a 1940 Act only filing)	N-1/A	1
	Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485APOS	3
	Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)	485BPOS	3
	Amendment (for filings made under the 1940 Act only)	POS AMI	3
	Post-effective amendment filed pursuant to Securities Act Rule 485(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485BXT	3
	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	3
	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	3
Rule 498	Profiles for certain open-end management investment companies filed pursuant to Securities Act Rule 497(k)(1)(i)	497K1	3
	Profiles for certain open-end management investment companies filed pursuant to Securities Act Rule 497(k)(1)(ii)	497K2	3

Filing Type	Description	Submission Type	Template Number
	Profiles for certain open-end management investment companies filed pursuant to Securities Act Rule 497(k)(1)(iii)(A)	497K3A	3
	Profiles for certain open-end management investment companies filed pursuant to Securities Act Rule 497(k)(1)(iii)(B)	497K3B	3
Form N-2	Initial filing of a registration statement on Form N-2 for closed-end investment companies	N-2	1
	Pre-effective amendment to a registration statement on Form N-2 for closed-end investment companies (this filing cannot be submitted as a 1940 Act only filing)	N-2/A	1
	Amendment (for filings made under the 1940 Act only)	POS AMI	3
	Post-effective amendment filed under the 1933 Act only or under both the 1933 and 1940 Acts pursuant to Section 8(c) of the 1933 Act by closed-end investment companies (this filing cannot be submitted as a 1940 Act only filing)	POS 8C	3
	Filing of a registration statement on Form N-2 for closed-end investment companies filed pursuant to Securities Act Rule 486(a)	N-2	1
	Post-effective amendment to filing filed pursuant to Securities Act Rule 486(a)	486APOS	3
	Filing of a registration statement on Form N-2 for closed-end investment companies filed pursuant to Securities Act Rule 486(b)	N-2	1
	Post-effective amendment to filing filed pursuant to Securities Act Rule 486(b)	486BPOS	3
	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	3
		497J	3
	Certification of no change in definitive materials A new registration statement on Form N-2 filed under Securities Act Rule 462(b) by closed-end investment companies of up to an additional 20% of securities for an offering that was registered on Form N-2	N-2MEF	1

Filing Type	Description	Submission Type	Template Number
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	3
	Post-effective amendment to a registration statement filed under Securities Act Rule 462(c)	POS462C	3
	Post-effective amendment filed solely to add exhibits to a registration statement	POS EX	3
	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	3
	Filings made pursuant to Rule 497(h)(2)	497H2	3

Special Processing of Certain Submission Types

Issuers are advised that filings with the submission types listed below will receive a "Filing Date" identical to the EDGAR "Received Date" even if received after 5:30 p.m. Eastern time which is different than normal filings. In addition these filings will be disseminated until 10:00 p.m. Eastern time. Normally filings received after 5:30 p.m. Eastern time will receive a filing date of the next business day and will not be disseminated until the next business day.

The following submission types will receive a filing date identical to the EDGAR "Received Date" and will be disseminated until 10:00 p.m. Eastern time:

N-2MEF N-14MEF POS462B

You should send any fee payment made for the above registration statements to the Commission's lockbox. Additionally, you should submit any fee payment certification that you are making for the above-listed submission types, pursuant to Rule 111(b), using the "CORRESP" submission type.

TABLE 6. Investment Company Submission types Accepted by EDGAR (Continued)

Filing Type	Description	Submission Type	Template Number
Form N-3	Initial registration statement on Form N-3 for separate accounts (management investment companies)	N-3	1
	Pre-effective amendment to a registration statement on Form N-3 for separate accounts (management investment companies)(this filing cannot be submitted as a 1940 Act only filing)	N-3/A	1
	Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485APOS	3
	Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)	485BPOS	3
	Amendment (for filings made under the 1940 Act only)	POS AMI	3
	Post-effective amendment filed pursuant to Securities Act Rule 485(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485BXT	3
	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	3
	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	3
Form N-4	Initial registration statement on Form N-4 for separate accounts (unit investment trusts)	N-4	1
	Pre-effective amendment to a registration statement on Form N-4 for separate accounts (unit investment trusts)(this filing cannot be submitted as a 1940 Act only filing)	N-4/A	1
	Pre-effective pricing amendment filed pursuant to Securities Act Rule 487	487	1
	Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485APOS	3

Filing Type	Description	Submission Type	Template Number
	Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)	485BPOS	3
	Post-effective amendment filed pursuant to Securities Act Rule 485(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485BXT	3
	Amendment (for filings made under the 1940 Act only)	POS AMI	3
	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	3
	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	3
Form N-6	Registration statement for separate accounts (unit investment trusts)	N-6	1
	Pre-effective amendment to a registration statement filed on Form N-6 for separate accounts (unit investment trusts)	N-6/A	1
	Pre-effective pricing amendment filed pursuant to Securities Act Rule 487	487	1
	Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485APOS	3
	Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)	485BPOS	3
	Post-effective amendment filed pursuant to Securities Act Rule 485(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485BXT	3
	Amendment (for filings made under the 1940 Act only)	POS AMI	3

Filing Type	Description	Submission Type	Template Number
	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	3
	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	3
Form S-6	Initial registration statement filed on Form S-6 for unit investment trusts	S-6	1
	Pre-effective amendment	S-6/A	1
	Pre-effective pricing amendment filed pursuant to Securities Act Rule 487	487	1
	Initial undertaking to file reports	UNDER	3
	Amendment	UNDER/A	3
	Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485APOS	3
	Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)	485BPOS	3
	Post-effective amendment filed pursuant to Securities Act Rule 485(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485BXT	3
	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	3
	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	3
Form N-5	Registration statement for small business investment companies	N-5	1
	Pre-effective amendment to a registration statement on Form N-5 for small business investment companies (this filing cannot be submitted as a 1940 Act only filing)	N-5/A	1
	Amendment (for filings made under the 1940 Act only)	POS AMI	3

Filing Type	Description	Submission Type	Template Number
	Post-effective amendment filed under the 1933 Act only or under both the 1933 and 1940 Acts pursuant to Section 8(c) of the 1933 Act by closed-end investment companies (this filing cannot be submitted as a 1940 Act only filing)	POS 8C	3
	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	3
	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	3
Form N-14	Initial registration statement filed on Form N-14 for open-end investment company (business combinations)	N-14	1
	Pre-effective amendment	N-14/A	1
	Initial registration statement filed on Form N-14 by open-end investment company with automatic effectiveness under Rule 488 (business combinations)	N-14AE	1
	Pre-effective amendment	N-14AE/A	1
	Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485APOS	3
	Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)	485BPOS	3
	Initial registration statement filed on Form N-14 by closed-end investment company (business combinations)	N-14 8C	1
	Pre-effective amendment	N-14 8C/A	1
	Post-effective amendment filed under the 1933 Act only or under both the 1933 and 1940 Acts pursuant to Section 8(c) of the 1933 Act by closed-end investment companies (this filing cannot be submitted as a 1940 Act only filing)	POS 8C	3
	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	3

Filing Type	Description	Submission Type	Template Number
	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	3
	A new registration statement filed on Form N-14 by closed end investment companies filed under Securities Act Rule 462(b) of up to an additional 20% of securities for an offering that was registered on Form N-14	N-14MEF	1
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	3
	Post-effective amendment to Securities Act Rule 462(c) registration statement	POS462C	3
	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	3
MISCELLANEOUS FILINGS UNDER THE SECURITIES ACT			
Rule 425	Filing under Securities Act Rule 425 of certain prospectuses and communications in connection with business combination transactions Note: Form 425 can be filed as part of Form 8-K. For filers subject to 8-K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms	425	2
Rule 473	Separately filed delaying amendment under Securities Act Rule 473 to delay effectiveness of a 1933 Act registration statement	DEL AM	3
Rule 477	Registration Withdrawal Request Withdrawal of a request for withdrawal of a registration statement Withdrawal of amendment to a registration statement filed under the Securities Act Withdrawal of a request for withdrawal of an amendment to a registration statement	RW RW WD AW AW WD	3 1 3 1
Rule 482	Filing by certain investment companies of Securities Act Rule 482 advertising in accordance with Securities Act Rule 497 and the Note to Rule 482(c)	497AD	3

Filing Type	Description	Submission Type	Template Number
REGISTRATION OF SECURITIES BY CERTAIN INVESTMENT COMPANIES PURSUANT TO RULE 24F-2.			
Rule 24F-2	Rule 24f-2 notice filed on Form 24F-2	24F-2NT	1
	Amendment	24F-2NT /A	1
OTHER COMPANY ACT REGISTRATION STATEMENTS			
Form N-8A	Initial notification of registration under section 8(a) filed on Form N-8A	N-8A	2
	Amendment	N-8A/A	2
Form N-8B-2	Initial registration statement for unit investment trusts filed on Form N-8B-2	N-8B-2	2
	Amendment	N-8B-2/A	2
Form N-8B-3	Initial registration statement for periodic payment plans filed on Form N-8B-3	N-8B-3	2
	Amendment	N-8B-3/A	2
Form N-8B-4	Initial registration statement for face-amount certificate companies filed on Form N-8B-4	N-8B-4	2
	Amendment	N-8B-4/A	2
SUBMISSION TYPES FOR BUSINESS DEVELOPMENT COMPANIES			
Form N-6F	Notice of intent by business development companies to elect to be subject to Sections 55 through 65 of the 1940 Act filed on Form N-6F	N-6F	2
	Amendment	N-6F/A	2
Form N-54A	Notification of election by business development companies filed on Form N-54A	N-54A	2
	Amendment	N-54A/A	2
Form N-54C	Notification of withdrawal by business development companies filed on Form N-54C	N-54C	2
	Amendment	N-54C/A	2
OTHER INVESTMENT COMPANY SUBMISSION TYPES			
Rule 8b-25(a)	Filing by investment company of application under Investment Company Act Rule 8b-25(a) requesting extension of time for filing certain information, document or report	40-8B25	2

Filing Type	Description	Submission Type	Template Number
Form 17F-1	Initial certificate of accounting of securities and similar investments in the custody of management investment companies filed pursuant to Rule 17f-1 of the Investment Company Act of 1940 filed on Form N-17F-1	40-17F1	2
	Amendment	40-17F1/A	2
Form 17F-2	Initial certificate of accounting of securities and similar investments in the custody of management investment companies filed pursuant to Rule 17f-2 of the Investment Company Act of 1940 filed on Form N-17F-2	40-17F2	2
	Amendment	40-17F2/A	2
Rule 17g-1(g)(1)	Fidelity bond filed pursuant to Rule 17g-1(g)(1) of the Investment Company Act of 1940	40-17G	2
	Amendment	40-17G/A	2
	Note: May be filed electronically on a voluntary basis.		
Rule 17g-1(g)(2) or (3)	Filings of claim or settlement pursuant to rule 17g-1(g)(1)(2) or (3) of the Investment Company Act of 1940	40-17GCS	2
	Amendment	40-17GCS/A	2
	Note: May be filed electronically on a voluntary basis.		
Rule 24b-2	Filing of sales literature pursuant to Rule 24b-2 under the Investment Company Act of 1940	40-24B2	2
	Amendment	40-24B2/A	2
	Note: May be filed electronically on a voluntary basis.		

Filing Type	Description	Submission Type	Template Number
ICA Section 33	Copies of all stockholder derivative actions filed with a court against an investment company or an affiliate thereof pursuant to Section 33 of the Investment Company Act of 1940	40-33	2
	Amendment	40-33/A	2
	Note: May be filed electronically on a voluntary basis.		
Form N-18F-1	Initial notification of election pursuant to Rule 18f-1 filed on Form N-18F-1	N-18F1	2
	Amendment	N-18F1/A	2
Rule 23c-2(b)	Notice by closed-end investment companies of intention to call or redeem their own securities under Investment Company Act Rule 23c-2	N-23C-2	2
	Amendment	N-23C-2/A	2
Form N-23C-3	Notification of periodic repurchase offer Filed pursuant to Rule 23c-3(b) only	N-23C3A	2
	Amendment	N-23C3A/A	2
	Filing pursuant to Rule 23c-3(c) only on Form N-23C-3	N-23C3B	2
	Amendment	N-23C3B/A	2
	Filing pursuant to Rule 23c-3(b) and (c) on Form N-23C-3	N-23C3C	2
	Amendment	N-23C3C/A	2
Form N-27D-1	Accounting for segregated trust accounts on Form N-27D-1	N-27D-1	2
	Amendment	N-27D-1/A	2
PERIODIC REPORTS FOR REGISTERED INVESTMENT COMPANIES			
Form N-SAR	Semi-annual report for management companies filed on Form N-SAR	NSAR-A	3
	Amendment	NSAR-A/A	3

Filing Type	Description	Submission Type	Template Number
	Transitional semi-annual report filed on Form N-SAR	NSAR-AT	3
	Amendment	NSAR-AT/A	3
	Annual report for management companies filed on Form N-SAR	NSAR-B	3
	Amendment	NSAR-B/A	3
	Transitional annual report filed on Form N-SAR	NSAR-BT	3
	Amendment	NSAR-BT/A	3
	Annual report for unit investment trusts filed on Form N-SAR	NSAR-U	3
	Amendment	NSAR-U/A	3
Form N-CSR	Certified annual shareholder report of registered management investment companies filed on Form N-CSR	N-CSR	3
	Amendment	N-CSR/A	3
	Certified semi-annual shareholder report of registered management investment companies filed on Form N-CSR	N-CSRS	3
	Amendment	N-CSRS/A	3
Form N-PX	Annual Report of Proxy Voting Record of Registered Management Investment Companies filed on Form N-PX	N-PX	3
	Amendment	N-PX/A	3
Form N-Q	Quarterly Schedule of Portfolio Holdings of Registered Management Investment Company filed on Form N-Q	N-Q	3
	Amendment	N-Q/A	3
Rule 12b-25	Notice under Exchange Act Rule 12b-25 of inability to timely file Form N-SAR	NT-NSAR	3
	Amendment	NT-NSAR/A	3

Filing Type	Description	Submission Type	Template Number
	Notice under Exchange Act Rule 12b-25 of inability to timely file Form N-CSR (annual or semi-annual report)	NT-NCSR	3
	Amendment	NT-NCSR/A	3
Rule 30b2-1	Initial annual and semi-annual reports mailed to investment company shareholders pursuant to Rule 30e-1 (other than those required to be submitted as part of Form N-CSR)	N-30D	3
	Amendment	N-30D/A	3
	Periodic and interim reports mailed to investment company shareholders (other than annual and semi-annual reports mailed to shareholders pursuant to Rule 30e-1)	N-30B-2	3
APPLICATION FOR DEREGISTRATION OF INVESTMENT COMPANIES			
Form N-8F	Application for deregistration made on Form N-8F	N-8F	2
	Amendment	N-8F/A	2
Rule 0-2	Initial application for deregistration pursuant to Investment Company Act Rule 0-2	40-8F-2	2
	Amendment	40-8F-2/A	2

TABLE 7. Development Bank Submission Types Accepted by EDGAR

Filing Type	Description	Submission Type	Template Number
QRTLYRPT	Periodic Development Bank filing, submitted quarterly	QRTLYRPT	2
	Amendment	QRTLYRPT/A	2
ANNLRPT	Periodic Development Bank filing, submitted annually	ANNLRPT	2
	Amendment	ANNLRPT/A	2
DSTRBRPT	Distribution of primary obligations Development Bank report	DSTRBRPT	2
	Amendment	DSTRBRPT/A	2
Notes: (1) These submission types are to be filed ONLY by the Development Banks. (2) BW-2 and BW-3 submission types have been rescinded; please use QRTLYRPT, ANNLRPT, and DSTRBRPT Form Types.			

TABLE 8. Correspondence Submission Types

Filing Type	Description	Submission Type	Template Number
Correspondence	A correspondence can be sent as a document with another submission type or can be sent as a separate submission. Correspondence is not publicly disseminated immediately. The SEC staff may release all or portions of these documents electronically if they relate to the staff's review process. See SEC Press Release 2004-89, "SEC Staff to Publicly Release Comment Letters and Responses."	CORRESP	4